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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

re the Application of:

**Ronald A. KATZ**

Serial No.: 09/827,614

Filed: April 5, 2001

For: TELEPHONIC-INTERFACE  
STATISTICAL ANALYSIS SYSTEM

)  
) **Group Art Unit:** 2643  
)  
) **Examiner:** S. Woo  
)  
) **Attorney Docket No.:** 6646-101NR  
)  
) **Customer No.:** 50-1636  
)  
)

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. 1.97(c)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA. 22313-1450

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Technology Center 2800

Sir:

Further to Forms PTO-1449 submitted before (Set I through SUPPLEMENTAL XIII), Applicant is submitting additional Forms PTO (SUPPLEMENTAL XIV-XV) citing new references that were recently brought to Applicant's attention. The references may or may not be "material" pursuant to 37 C.F.R. § 1.56. Applicant requests the Examiner to make an independent determination. The undersigned brings to the Examiner's attention that she has not received initialed copies of the Forms PTO-1449 submitted for the subject application.

Pursuant to pursuant to 37 CFR 1.52(e), Applicant encloses two (2) compact discs. One of the compact discs is the original and labeled "Copy 1" and the other is identical and labeled "Copy 2." Pursuant to 37 CFR 1.52(e)(3), Applicant encloses an information data sheet of the

**CERTIFICATE OF MAILING UNDER 37 CFR 1.8**

I hereby certify that this document (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA. 22313-1450.

June 3, 2004  
Date

Clarissa Lo  
Clarissa Lo

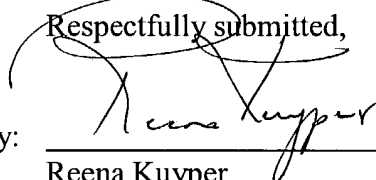
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00000002 501636  
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Application No.: 09/827,614  
IDS dated: June 3, 2004

references cited on Forms PTO 1449 (IV-XV) as well as scanned copies (in PDF format) of all the references listed.

Applicant requests that under 37 C.F.R. 1.97(c), the accompanying Forms PTO-1449 that list the references should be placed in this file to make it available for future access by others. This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§ 1.97(c) and 1.98. The Examiner is hereby authorized to charge the requisite fee (indicated in the accompanying transmittal) any deficiencies or any additional fee required by this paper to A2D L.P.'s Deposit Account No. 50-1636.

Dated: June 3, 2004

Respectfully submitted,  
  
By: \_\_\_\_\_  
Reena Kuyper  
Reg. No. 33,830

9220 Sunset Blvd., Suite 315  
Los Angeles, California 90069  
(310) 247-8191

FORM PTO-1449

SUPPLEMENTAL XIV

ATTY. DOCKET  
NO.

6646-101NR

SERIAL NO.

09/827,614

APPLICANT:

RONALD A. KATZ

FILING DATE:

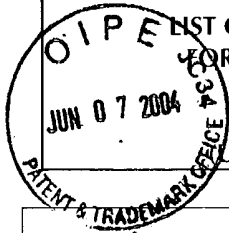
April 5, 2001

GROUP:

2643

LIST OF PATENTS AND OTHER ITEMS  
FOR APPLICANT'S INFORMATION  
DISCLOSURE STATEMENT

(Use several sheets if necessary)



## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
	3,555,198	01/12/71	Stepan	_____	_____	_____
	4,985,913	01/15/91	Shalom et al.	_____	_____	_____
	4,951,310	08/21/90	Honda et al.	_____	_____	_____
	5,029,196	07/02/91	Morganstein	_____	_____	_____
	5,841,837	11/24/98	Fuller et al.	_____	_____	_____

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

	General Trading Co., Inc., VoiceStar Proposal Jan. 29, 1988 (Vz Cal 339367-339414)
	Gitlin, Bob, "Impersonal Touch? Risk Management Resources' Bottom Line Outweighs Criticism of Voice Processing," Communications News, Feb. 1, 1990, Vol. 27, No. 2.
	Periphonics Corporation, Bank of American Versatel Home Banking System, Sept. 2, 1980 (Vz Cal 339415-339456)

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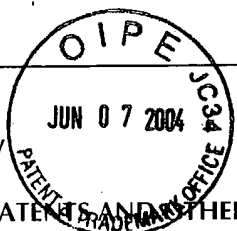
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FORM PTO-1449

SUPPLEMENTAL XV

LIST OF PATENTS AND OTHER ITEMS  
FOR APPLICANT'S INFORMATION  
DISCLOSURE STATEMENT

(Use several sheets if necessary)

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## U.S. PATENT DOCUMENTS

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	3,622,995	11/23/1971	Dilks	-----	-----	3/21/1969
	3,725,596	4/3/1973	Maxon et al.	-----	-----	11/12/1971
	3,725,597	4/3/1973	Streisand	-----	-----	7/1/1971
	4,438,824	3/27/1984	Mueller-Schloer	-----	-----	4/22/1981
	4,484,031	11/20/1984	Gray et al.	-----	-----	6/21/1982
	4,656,624	4/7/1987	Collins et al.	-----	-----	5/3/1985
	4,755,872	7/5/1988	Bestler et al.	-----	-----	7/29/1985
	4,782,508	11/1/1988	Borchering et al.	-----	-----	3/3/1986
	Re. 34,587	4/19/1994	Crane et al.	-----	-----	4/19/1994
	3,689,703	9/5/1972	Allen et al.	-----	-----	9/5/1972
	3,752,904	8/14/1973	Waterbury	-----	-----	8/9/1971
	4,531,023	7/23/1985	Levine	-----	-----	8/13/1982
	4,612,416	9/16/1986	Emerson et al.	-----	-----	1/22/1985
	4,763,353	8/9/1988	Canale et al.	-----	-----	2/14/1986
	5,402,472	3/28/1995	McLampy et al.	-----	-----	4/23/1992

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
						YES	NO
	54-061807	5/18/1979	Japan			X (abstract only)	
	55-010246	1/24/1980	Japan			X (abstract only)	

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<b>FORM PTO-1449</b>  <b>SUPPLEMENTAL XV</b>  <b>LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	<b>ATTY. DOCKET NO.</b> 6646-101NR	<b>SERIAL NO.</b> 09/827,614
	<b>APPLICANT:</b> RONALD A. KATZ	
	<b>FILING DATE:</b> April 5, 2001	<b>GROUP:</b> 2643

		56-044958	4/24/1981	Japan			X (abstract only)	
		57-045767	3/15/1982	Japan			X (abstract only)	
		57-162867	10/6/1982	Japan			X (abstract only)	
		01-098362	4/17/1989	Japan			X (abstract only)	
		62-038933	02/19/1987	Japan			X (abstract only)	

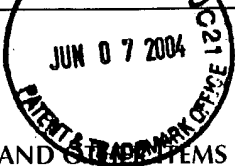
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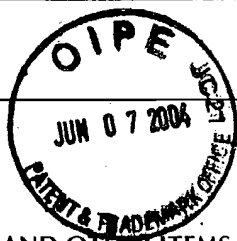
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)	
	Steven C. Grant and Yvonne Brooks Grant, <i>The Teleconnect Guide to Automatic Call Distributors</i> , 2 <sup>nd</sup> Ed. January 1985, ("The Teleconnect Guide")
	<i>Special Feature: The Automated Switchboard Attendant in the Telemanagement Report</i> , pp. 49-56, Vol. 2, No. 5 (15), June 1984 ("The Telemanagement Report")
	Via Cable, Vol. 2, No. 7 (November 1982)
	Via Cable, Vol. 3, No. 1 (December/January 1983)
	CableData U.S. Computer System Annual Report (1982)
	Letter from Douglas Semon, Director of Engineering, New Technology Development, Viacom Cable to Mr. Semir Serazi, CATV Division, Zenith Electronics Corp., dated February 22, 1985
	Letter from Andrew Paff, Manager, New Business Development to Donna Brickell, Project Manager, Pacific Bell, dated May 21, 1985
	<i>A Trick of a National Pay-Per-view Ordering and Billing System</i> , published by the 1986 Convention Technical Program Committee of the National Cable Television Association (March 1986)
	Viacom Cable Memo dated May 30, 1986
	Customer Interface User Manual dated October 18, 1986
	Viacom Memo dated November 26, 1986
	Undated document entitled "Pacific/CATV Hybrid Pay-Per-View Feature"
	The Yankee Group, "Cable and the Telcos: From Confrontation to Détente," - Jun. 1983, pp. 162-167
	"The Voice," VCT Quarterly Newsletter, Volume 1, No. 2, Winter 1986, pp. 1-6 (Vz Cal 291279-291284)

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	<b>APPLICANT:</b> RONALD A. KATZ		<b>RECEIVED</b>  JUL 07 2004  Technology Center 2600
	<b>FILING DATE:</b> April 5, 2001	<b>GROUP:</b> 2643	

		"The Voice," VCT Quarterly Newsletter, Volume 2, No. 3, Winter 1987, pp. 1-6 (Vz Cal 291273-291278)
		Reisman, Bert, "New IBM Audio Response Unit Enables Computer To Answer Information Inquiries With Voice Messages," IBM Technical Information, January 24, 1964, pp. 1-3 (press release) (Vz Cal 114854-114856)
		"IBM system/360 Component Description, IBM 7772 Audio Response Unit," IBM Systems Reference Library, File Number S360-09, Form A27-2711-0, 1966, pp. 5-29 (Vz Cal 92638-92669)
		"The Mississauga Transit Demonstration of the Automatic Bus Passenger Information Concept," Prepared for the Urban Transportation Research Branch of Canadian Surface Transportation Administration Transport Canada, Montreal, Quebec, March 1979, 10 pages (Vz Cal 114898-114906)
		Oliver, G.P., "Architecture of System X, Part 3-Local Exchanges," <i>POEEJ</i> , Vol. 73, April 1980, pp. 27-34 (Vz Cal 92702-92709)
		Letter from Murphy (ASI Teleprocessing) to Koprucu (International Tech) re ASI Teleprocessing and its SolidVoice System, 5/27/80 (Vz Cal 134785)
		Shepard, H., et al., "Functional Specification for Bank of America, EBR - Bank Card Systems, San Francisco, California, August 8, 1980," August 8, 1980 (Vz Cal 137696-137721)
		"Calling Card Service Debuts in St. Louis, Marks a significant change in customer calling service," <i>Bell Labs News</i> , October 5, 1961?, 2 pages (Vz Cal 134090-134091, and duplicate under Vz Cal 93043-93044)
		"BT-II Data Entry/Voice Response Processor," PTC, Perception Technology Corporation, 6 pages (Vz Cal 133904-133909)
		Special Edition: 1983 Buyer's Guide Issue, <i>Speech Technology</i> , Math/Machine Voice Communications, Vol. 1, No. January/February 1983, 9 pages (introductory pages for the following articles) (Vz Cal 80988-80996)
		Lea, Wayne, "Selecting the Best Speech Recognizer for the Job," <i>Speech Technology</i> , Jan/Feb. 1983, pp. 10-29 (Vz Cal 80997-81016)
		Voiers, William D., "Evaluating Processed Speech Using the Diagnostic Rhyme Test," <i>Speech Technology</i> , Jan/Feb. 1983, pp. 30-39 (Vz Cal 81017-81026)
		Rubinchek, Benjamin, "Toward Standards for Speech I/O Systems," <i>Speech Technology</i> , Jan/Feb. 1983, pp. 40-42 (Vz Cal 81027-81031)
		Sorace, R.E., et al., "Interactive Voice and Video Game Shows Off Speech Recognizer Advances," <i>Speech Technology</i> , Jan/Feb. 1983, pp. 45-53 (Vz Cal 81032-81041)
		"Voice Leaders Speak Out," <i>Speech Technology</i> , Jan/Feb. 1983, pp. 55-69 (Vz Cal 81042-81056)
		Bell, Donald, et al., "Designing Experiments to Evaluate Speech I/O Devices and Applications," <i>Speech Technology</i> , Jan/Feb. 1983, pp. 70-79 (Vz Cal 81057-81066)
		Stoughton, Alan M., "Personal Computers Deliver Economical Speech Aids to the Handicapped," <i>Speech Technology</i> , Jan/Feb. 1983, pp. 80-88 (Vz Cal 81067-81075)
		DeSipio, Richard G., et al., "Avionics System Plays 'Ask and Tell' with Its Operator," <i>Speech Technology</i> , Jan/Feb. 1983, pp. 89-93 (Vz Cal 81076-81080)
		Baker, Janet M., et al., "Aspects of Stochastic Modeling for Speech Recognition," <i>Speech Technology</i> , Jan/Feb. 1983, pp. 94-97, 105-106 (Vz Cal 81081-81087)
		Prull, Dale W., "Signal Squeezing Produces High-Quality Speech in PCM Systems," <i>Speech Technology</i> , Jan/Feb. 1983, pp. 107-115 (Vz Cal 81088-81096)

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	FILING DATE: April 5, 2001	GROUP: 2643 Technology Center 2600

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	Chan, Chi Foon, et al., "A Total Approach to Speech Recognition," <i>Speech Technology</i> , Jan/Feb. 1983, pp. 116-118, 121-128, 130 (Vz Cal 81097-81109)
	"What's The Best Way to Analyze Speech and Other Non-Stationary Signals?" "Digital Sound", <i>Speech Technology</i> , Jan/Feb. 1983, 2 pages (Vz Cal 81110-81111)
	Datavoice Technology, Publication #3850201A, January 1983, Periphonics (Vz Cal 140657-140678)
	Shepard, H., et al., Functional Specification for First Hawaiian Bank, 165 South King Street, Honolulu, Hawaii 96847, Original: September 26, 1980, First Revision: September 13, 1982, Second Revision: October 13, 1983, System Number: 2010, Reference Number: 12038 (Vz Cal 137521-137564)
	Computer System Proposal for Oceanic Cablevision, Honolulu, Hawaii, November 17, 1983, by Business Systems, Inc., 2720 Wade Hampton Blvd., Greenville, S.C. 29615 (Vz Cal 92432-92436)
	Touch Tone Data Entry/Voice Response Systems, The Perception Technology Corporation Marketing Agreement (Advance Copy), Prepared by: AT&T Information Systems, W. Gourley, R. Fortin, J. Maynes, May 1984 (Vz Cal 79189-79238)
	Special Feature, The Automated Switchboard Attendant, <i>The Telemanagement Report</i> , Volume 2, Number 5 (15) - June 1984, pp. 50-56 (Vz Cal 114914-114921)
	Uenohara, Michiyuki, "Speech Products and Their Applications in Japan," NEC Corporation, <i>Speech Tech</i> '85, pp. 273-276 (Vz Cal 92690-92693)
	"The Automated Switchboard Attendant gives you...", Dytel, 4 pages (handwritten date: 6-86) (Vz Cal 85945-85948)
	Kirvan, Paul F., "Centrex Positions Itself for Your Future," <i>Business Communications Review</i> , July-August 1985, Volume 15, Number 4, pp. 2-6 (Vz Cal 87688-87694)
	Hills, Michael T., "Does Equal Access Have a Place in Automatic Route Selection Patterns?" <i>Business Communications Review</i> , July-August 1985, Volume 15, Number 4, pp. 20-25 (Vz Cal 87695-87700)
	McQuillan, John, "Office Automation Strategies," <i>Business Communications Review</i> , July-August 1985, Volume 15, Number 4, pp. 38-39 (Vz Cal 87701-87702)
	AT&T Speech Response Service Product Description, (Advance Copy) 7/22/85 (Vz Cal 135020-135033)
	Bank-By-Phone, Your most convenient way to bank and pay your bills, California First Bank, Form 2850-D, Rev. 9/85 (Vz Cal 92374-92386)
	Kauffman, Marc, "Pay-per-view technologies: Real-time vs. store and forward," <i>Communications Technology</i> , October 1985, pp. 36, 48, 50-52 (Vz Cal 92310-92314)
	Ferber, Leon, "Voice response IPPV," <i>Communications Engineering &amp; Design/The Magazine of</i> , October 1985, 3 pages (Vz Cal 92729-92732)
	Wienski, Robert M., et al., "Getting Ready for ISDN," <i>Business Communications Review</i> , November-December 1985, pp. 2-6 (Vz Cal 87731-87736)
	Speech Response Service, Automated Course Registration for College Administrators, AT&T, 1986, 4 pages (Vz Cal 92352-92355, and duplicate under Vz Cal 134803-134806)
	Toth, Victor J., "Washington Perspective, Computer III - The Challenge That could Be the FCC's Undoing," <i>Business Communications Review</i> , January-February 1986, pp. 25-30 (Vz Cal 140145-140150)
	Toth, Victor, "Telecom Legislation: The Time Is Almost Ripe But this Time Let's Do It Right," <i>Business Communications Review</i> , March-April 1986, pp. 8-12 (Vz Cal 89987-89994)

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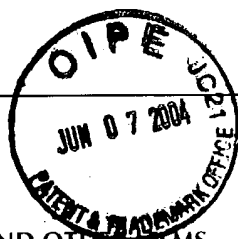


FORM PTO-1449

SUPPLEMENTAL XV

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	Speech Response Service Marketing Guide, Prepared by: AT&T Information Systems, Speech Response Service Product Marketing, April 1986 (Vz Cal 135971-136002)
	Letter from Pollpeter (Rockwell International) to Scally (Perception Technology Corporation) re Rockwell's interest in offering an Audio Response Unit as part of the Galaxy ACD (Automatic Call Distributor) Product Line, 5/27/86, 1 page (Vz Cal 93068)
	Draft Baybanks Systems, Inc. Telephone Banking Requirements Report, Project Number 1816, Prepared by: Becca Ellis, Carol Bubilis, Larry Mariasis, November 7, 1986, pp. 1-37, Exhibit A and Exhibit B (Vz Cal 137618- 137655)
	"AT&T taking role in Ani test in Wis." (date and source illegible) (Vz Cal 82282)
	Voice News, Volume 7, Number 1, January 1987, pp. 1-8 (Vz Cal 79725-79732)
	Letter from Brown (CECORP) to Ferber (NUSC/CU) re request for information on CEVOICE (along with CEVOICE Demo Instructions), 4/29/87, 5 pages total including letter (Vz Cal 92408-92412)
	The Aspect CallCenter, <i>Business Communications Review</i> , Volume 17, Number 3, May-June 1987, pp. 43-45 (Vz Cal 90444-90472)
	Letter from Glenn Appleyard (Phone Programs Inc.) to Scally (Perception Technology Corp.) re Request for Information for equipment to be used by Phone Programs Illinois, Inc. (1 page), 7/9/87 (Vz Cal 92389)
	The Complete Guide to the "Dial-It" Business, by InfoText Magazine, 1988, pp. 1-81 (Vz Cal 92202-92288)
	Gordon, James R., "PBX Vendors Jockey for Position," <i>Business Communications Review</i> , Volume 18, Number 1, January-February 1988, pp. 7-10 (Vz Cal 90163-90168)
	Wallace, Bob, "Amex details experience with ISDN at user meeting; First PRI user cites better productivity, service" <i>Network World, Inc.</i> , October 3, 1988, 3 pages (Vz Cal 89844-89846)
	Sharma, Ranjana, "On the ACD cutting edge," <i>Network World, Inc.</i> , October 17, 1988, 2 pages (Vz Cal 89842-89843)
	"Phone-Based System Reduces Registration Frustration and Costs," T.H.E. (Technological Horizons in Education) Journal, Dec./Jan. 1988/89, 1 page + cover (Vz Cal 92970-92971)
	Toader, Adrian, "'900': Image the opportunities," <i>Voice Processing Magazine</i> , 3 <sup>rd</sup> quarter 1989, 1 page (Vz Cal 92413)
	"Aspect Applications Guide, Application Bridge," <i>Aspect Telecommunication</i> , pp. 1, 3, 5, 7, 9, 11, 13, 15 (Vz Cal 92156-92165)
	"A Load of Technology and Know-How," <i>Inbound/Outbound Magazine</i> , October 1989, 4 pages (Vz Cal 92414-92417)
	Teldear Telephone Data Entry & Audio Response, 5 pages, undated (Vz Cal 135886-135890)
	Korzeniowski, Paul, "Goal Number 1: Cut down on fraudulent transactions. Goal Number 2: Keep the customer satisfied," undated, pp. 35-37 (Vz Cal 91810-91811)
	PEP - Phone Entry Processor, 1984 Cable Data, 2 pages (Vz Cal 134831-134832)
	"Data Entry/Voice Response, Today's simplest, most cost-effective approach to data entry and retrieval," by Perception Technology, 8 pages, 5/85 (Vz cal 92344-92351)

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	Urx Corporation Product Data, 5 pages, 1984 (Vz Cal 134815-134819)
	Field, Rebecca R., "SMDR - Designing A Resource Management Tool," <i>Business Communications Review</i> , January-February 1985, pp. 19-27 (Vz Cal 87590-87598)
	"Voice response systems offer many benefits," <i>Telecommunication Technology</i> , Vol. 4, No. 4, April 1986, 4 pages (Vz Cal 79092-79095)
	Addendum for Colombia: The ANI Feature, October 1986, pp. 1-11 (Vz Cal 96113-96123)
	"Getting the Vendor's Attention", "Northern Announces ISDN for SL-1s and SL-100S", "Who Will Play in AT&Ts UNMA Game?" <i>Business Communications Review</i> , November-December 1987, 2 pages (Vz Cal 90550-90551)
	"Lo-Ad Communications, Preliminary Functional Specification," by: Ken Teagan (Software Engineer), May 19, 1989, Lo-Ad Communications, pp. 1-14 (Vz Cal 92418-92431)
	"Turning the Clock Back to a Good Idea," <i>Communication &amp; Computer Product &amp; Software News</i> , March/April 1990, reprint by Periphonics, 1 page (Vz Cal 133903)
	"Voice mail soars at TWA," undated, 1 page (Vz Ca; 134402)
	Letter from Steinhoff (Dytel Corporation) to Pavelle (Symbolics Inc.) re The Automated Switchboard Attendant, enclosing brochure (The Automated Switchboard Attendant Product Notes, Issue 2 - November 1983 (1 page letter and 4 page brochure), 12/9/85 (Vz Cal 92317-92321)
	Toth, Victor J., "Washington Perspective, The AT&T and GTE Consent Decrees - One Decree Too Many," <i>Business Communications Review</i> , (handwritten date: 1985), 1 page (Vc Cal 87599)
	Neville, Thomas J., "Using ANI For Pay-Per-View Television," undated, 1 page (Vz Cal 92315)

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## I. Supplemental XIV

## a. Other Documents

<i>Name</i>	<i>File Type</i>	<i>Size</i>	<i>Date of Creation</i>
General Trading Co., Inc., VoiceStar Proposal Jan. 29, 1988 (Vz Cal 339367-339414)	Adobe Acrobat Document	1996 KB	05/28/2004
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3555198 Stepan et al.	Adobe Acrobat Document	439 KB	03/04/2004
4951310 Honda et al.	Adobe Acrobat Document	972 KB	03/04/2004
4985913 Shalom et al.	Adobe Acrobat Document	958 KB	03/04/2004
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## II. Supplemental XV

## a. US Patent Documents

<i>Name</i>	<i>File Type</i>	<i>Size</i>	<i>Date of Creation</i>
3622995 Dilks	Adobe Acrobat Document	975 KB	06/02/2004
3725596 Maxon et al.	Adobe Acrobat Document	1300 KB	06/02/2004
3725597 Streisand	Adobe Acrobat Document	904 KB	06/02/2004
4438824 Mueller-Schloer	Adobe Acrobat Document	977 KB	06/02/2004
4484031 Gray et al.	Adobe Acrobat Document	694 KB	06/02/2004
4656624 Collins et al.	Adobe Acrobat Document	1623 KB	06/02/2004
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3689703 Allen et al.	Adobe Acrobat Document	1194 KB	06/02/2004
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## b. Foreign Patent Documents

<i>Name</i>	<i>File Type</i>	<i>Size</i>	<i>Date of Creation</i>
JP 01-098362	Adobe Acrobat Document	60 KB	06/02/2004
JP 54-061807	Adobe Acrobat Document	53 KB	06/02/2004
JP 55-010246	Adobe Acrobat Document	66 KB	06/02/2004
JP 56-044958	Adobe Acrobat Document	63 KB	06/02/2004

JP 57-045767	Adobe Acrobat Document	59 KB	06/02/2004
JP 57-162867	Adobe Acrobat Document	60 KB	06/02/2004
JP 62-038933	Adobe Acrobat Document	67 KB	06/03/2004

## c. Other Documents

<i>Name</i>	<i>File Type</i>	<i>Size</i>	<i>Date of Creation</i>
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